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## UTILITY **PATENT APPLICATION TRANSMITTAL**

| Attorney Docket No.                             | YOR920030268US1 (8728-632) | 1 2 |  |
|---|----------------------------|-----|--|
| First Inventor Maged M. Michael                 |                            | 6   |  |
| Fault Tolerant Mutual Exclusion Locks for Share |                            |     |  |

(Only for new nonprovisional applications under 37 CFR 1.53(b)) Ex

| <u>le</u> | l       |          | utual Exclusion Locks for S |
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| APPLICA  | ATION ELEMENTS   |                | ADE              | NOCOC TO.   | stant Comm                                     | nissioner for Patents                   |
|--|--|----------------|------------------|---|--|---|
| See MPEP chapter 600 con   | cerning utility patent application conte   | ents.          | ,                |   | shington, DO                                   |   |
| 2. Submit an original and a Applicant claims see 37 CFR 1.27 3. Specification (preferred arrangemen - Descriptive title  | [Total Pages 31]   |                | ( <i>if</i> a. [ | CD-ROM or CD-R ir Computer Program cleotide and/or Amino A applicable, all necessary Computer Readab Specification Sequence | (Appendix)<br>cid Sequend<br>()<br>le Form (CR | ce Submission                           |
| - Statement Reg<br>- Reference to se<br>or a computer p<br>- Background of   | arding Fed sponsored R & D<br>equence listing, a table,<br>program listing appendix                      |                | C.               | i. CD-ROM o i i. paper Statements verifyi   | ,  |   |
| - Brief Summary<br>- Brief Description   | or the invention on of the Drawings (if filed)   |                |                  | ACCOMPANYING  | APPLICA  | TION PARTS                              |
| - Detailed Descr<br>- Claim(s)<br>- Abstract of the  | •  | _              | 9. [<br>10. [    | Assignment Papers 37 CFR 3.73(b) Sta (when there is an a  | atement  | et & document(s))  Power of Attorney    |
| 4. X Drawing(s) (35 L  5. Oath or Declaration  | J.S.C. 113) [ Total Sheets 7<br>[ Total Pages 2  | ] <sub>]</sub> | 11. [<br>12. [   | English Translation Information Disclos   | sure   | (if applicable) Copies of IDS Citations |
| a. X Newly exec<br>Copy from a<br>b. (for continua   | uted (original or copy) a prior application (37 CFR 1.63 (d)) ation/divisional with Box 18 completed     | d)             | 13. [<br>14. [   | Statement (IDS)/P Preliminary Amend Return Receipt Po (Should be specific   | lment<br>stcard (MPE                           | EP 503)                                 |
| Signed standard in the standar | TION OF INVENTOR(S) atement attached deleting inventor(s) the prior application, see 37 CFR and 1.33(b). |                | 15. [<br>16. [   | Certified Copy of F (if foreign priority is Nonpublication Re (b)(2)(B)(i). Applica   | Priority Docu<br>s claimed)<br>quest under     | iment(s)                                |
| 6. Application Data  | Sheet. See 37 CFR 1.76   |                | 17.              | or its equivalent.  X Other: Associ   | ate Powe                                       | r of Attorney                           |
| 18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:  Continuation Divisional Continuation-in-part (CIP) Of prior application No.:  Prior application information: Examiner Group Art Unit: For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.  |  |                |                  |   |  |   |
| The most potential of the same and   | relied upon when a portion has been in 19. CORRESP   |                |                  | · · · · · · · · · · · · · · · · · · ·   | onoution part                                  |   |
| Customer Number or Bar C   | ode Label (insert Customer No. or At   | tech bar cod   | fe label he      | or  | Corresponden                                   | nce address below                       |
| Name   | Frank Chau, Esq.   |                |                  |   |  |   |
|  | F. CHAU & ASSOCIATES, L  | LP.            |                  |   |  |   |
| Address  | 1900 Hempstead Turnpike  |                |                  |   |  |   |
| City   | East Meadow  | Si             | tate             | New York  | Zip Cod  | de 11554                                |
| Country  | USA  | Teleph         | one              | 516-357-0091  | Fax  | 516-357-0092                            |
| Name (Print/Type)  | Koon H. Wong Registration No. (Attorney/Agent) 48,459  |                |                  |   | 48,459   |   |
| Signature Burden Hour Statement: This form   | is estimated to take 0.2 hours to complete   |                | ill vary c       | depending upon the needs  |  | 9-19-03                                 |

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409l Stop Patent Applications Commissioner for Patents PO Box 1450 Alexandria VA 22313-1450 ATTORNEY DOCKET NO. YOR920030268US1 (8728-632)

Date: September 19, 2003

Express Mail Label: EV 329488217US Date of Deposit: September 19, 2003

Sir

Transmitted herewith for filing is the Patent Application of:

Inventors:

Maged M. MICHAEL, Yong-jik KIM

For:

FOR:

**BASIC FEE** 

**TOTAL CLAIMS** 

**INDEP CLAIMS** 

## FAULT TOLERANT MUTUAL EXCLUSION LOCKS FOR SHARED MEMORY SYSTEMS

Enclosed are: [X] 24 sheets of specification; [X] 1 sheet(s) of Abstract; [X] 6 sheet(s) of claims; [X] 7 sheet(s) of drawing(s);

- [X] An assignment of the invention to: <u>International Business Machines Corporation, Armonk, New York</u>, with Recordation Form.
- [X] Declaration and Power of Attorney.
- [ ] A certified copy of a \_\_\_\_\_\_ Application No. dated \_\_\_\_\_ from which priority under Title 35 USC §119 is claimed.
- [X] Associate Power of Attorney.

The filing fee has been calculated as shown below:

(Col. 1)

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|          | \$  | 750.00 |  |
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| X \$84 = | \$  | .00    |  |
| + 280 =  |     |        |  |
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MULTIPLE DEPENDENT CLAIMS PRESENTED

- [ ] Checks in the amount of  $\S$  and  $\S$  to cover the filing fee(s) and recording fee are enclosed.
- [X] Please charge my Deposit Account No. 50-0510/IBM (Yorktown Heights) in the amount of \$750.00.
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  - [X] Any additional filing fees required under 37 CFR 1.16.
  - [X] Any patent application processing fees under 35 CFR 1.17.

Respectfully submitted,

By:

Please address all correspondence to:

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Koon H. Wong

Registration No. 48,459

Attorney for: IBM Corporation

Intellectual Property Law Dept.

P.O. Box 218

Yorktown Heights, NY 10598

## **CERTIFICATION UNDER 37 C.F.R. § 1.10**

I hereby certify that this Application transmittal and the documents referred to as enclosed are being deposited with the United States Postal Service on this date <u>September 19, 2003</u> in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number <u>EV329488217US</u> addressed to: Commissioner for Patents, Mail Stop Patent Application, PO Box 1450, Alexandria, VA 22313-1450.

Koon H. Wong

Telephone 516-357-0091

Date

9-19-03

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|---|---|--|--------|--|--|--|--|
| Fig. 2003    September 18, 2003   First Named Inventor   Maged M. Michael   | FEE TRANSMITTA  |  |        |  |  |  |  |
| Applicant claims small entity status. See 37 CFR 1.27   TOTAL AMOUNT OF PAYMENT (\$) 790.00   Attorney Docket No.   YOR920030268US1 (8728-632)   METHOD OF PAYMENT (check all that apply)   FEE CALCULATION (continued)   Check   |   | Application (vulnibe)  |        |  |  |  |  |
| Art Unit   Attorney Docket No.   YOR920030268US1 (8728-632)   | for FY 2003   |  |        |  |  |  |  |
| Art Unit  |   | First Named Inventor   Maged M. Michael  |        |  |  |  |  |
| TOTAL AMOUNT OF PAYMENT (\$) 790.00    Attorney Docket No.   YOR920030268US1 (8728-632)   | Applicant claims small entity status. See 37 CFR 1.27   |  |        |  |  |  |  |
| Check   |   |  |        |  |  |  |  |
| Check   Credit card   Money   Other   None Order   None Order   None Order   None Order   None Order   None   No    | TOTAL AMOUNT OF PAYMENT (\$) 790.00   | Attorney Docket No.   YOR920030268US1 (8728-632)   |        |  |  |  |  |
| Deposit   Cocount   Commissions   Corporation   Cocount   Cocoun    | METHOD OF PAYMENT (check all that apply)  | FEE CALCULATION (continued)  |        |  |  |  |  |
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| 1805   1807   1808   1809       | Account   IBM/Yorktown Heights  |  |        |  |  |  |  |
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| Extract Claims  | Charge any additional fee(s) during the pendency of this application  |  |        |  |  |  |  |
| 1. BASIC FILING FEE   Large Entity   Small Entity   Fee Peal   1255   18   2205   9   18   18   2205   9   18   18   2205   9   18   18   2205   9   18   18   1205   18   2205   9   18   1205   18   2205   9   18   1205   18   2205   9   18   1205   18   2205   9   18   1205   18   2205   9   18   1205   18   2205   9   18   1205   18   2205   9   18   1205   18   2205   9   18   1205   18   2205   9   18   18   18   1205   18   2205   9   18   18   18   1205   18   2205   9   18   18   1205   18   2205   9   18   18   1205   18   2205   9   18   18   1205   18   2205   9   18   18   1205   18   2205   9   18   18   1205   18   2205   9   18   18   18   1205   18   2205   9   18   18   18   1205   18   2205   9   18   18   18   1205   18   2205   9   18   18   18   1205   18   2205   9   18   18   18   1205   18   2205   9   18   18   1205   18   2205   9   18   18   1205   18   1205   18   2205   9   18   18   1205   18   1205   18   1205   18   2205   9   18   18   18   18   18   18   18  |   |  |        |  |  |  |  |
| 1. BASIC FILING FEE   Large Entity   Small Entity   Fee       |   | •  |        |  |  |  |  |
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| Total Claims  | 1. BASIC FILING FEE   |  |        |  |  |  |  |
| 1001   750   2001   375   200    | Fee Fee Fee Fee Description Fee Paid  |  |        |  |  |  |  |
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| 1402   320   2402   160   Filing a brief in support of an appeal   1403   280   2403   140   Request for oral hearing   1451   1,510   Petition to institute a public use proceeding   1451   1,510   2452   55   Petition to revive - unavoidable   1453   1,300   2453   650   Petition to revive - unintentional   1501   1,300   2501   650   Utility issue fee (or reissue)   1502   470   2502   235   Design issue fee   1503   630   2503   315   Plant issue fee   1503   630   2503   315   Plant issue fee   1503   630   2503   315   Plant issue fee   1606   180   1    | ,   |  |        |  |  |  |  |
| 1004 750   2004 375   Reissue filing fee   1403 280   2403 140   Request for oral hearing   1451 1,510   Petition to institute a public use proceeding   1451 1,510   Petition to revive - unavoidable   1452 110   1453 1,300   1452 110   1453 1,300   1455   1,300   1455   1,300   1455   1,300   1455   1,300   1455   1,300   1455   1,300   1455   1,300   1455   1,300   1455   1,300   1455   1,300   1455   1,300   1455   1,300   1455   1,300       |   |  |        |  |  |  |  |
| 1005 160   2005 80   Provisional filing fee   SUBTOTAL (1)   (\$) 750.00   1451 1,510   2452 55 Petition to revive - unavoidable   1453 1,300   2453 650   Petition to revive - unintentional   1451 1,510   1451 1,510   2452 55 Petition to revive - unintentional   1453 1,300   2453 650   Petition to revive - unintentional   1501 1,300   2501 650   Utility issue fee (or reissue)   1502 470   2502 235   Design issue fee   1503 630   2503 315   Plant issue fee   1503 630   2503 630   2   |   |  |        |  |  |  |  |
| SUBTOTAL (1) (\$) 750.00  1452 110 2452 55 Petition to revive - unavoidable  2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE Fee from below Fee Paid  Total Claims 15 -20** = D X 84 = 0 1503 630 2503 315 Plant issue fee  Independent Claims Multiple Dependent  Large Entity Small Entity Fee Fee Code (\$) Code (\$) Code (\$)  1202 18 2202 9 Claims in excess of 20 1201 84 2201 42 Independent claims in excess of 3 1203 280 2203 140 Multiple dependent claims over original patent  1205 18 2205 9 ** Reissue claims in excess of 20 and over original patent  1452 110 2452 55 Petition to revive - unavoidable 1453 1,300 2503 650 Petition to revive - unavoidable 1453 1,300 2501 650 Utility issue fee (or reissue) 1502 470 2502 235 Design issue fee 1503 630 2503 315 Plant issue fee 1504 130 Petitions to the Commissioner 1806 180 Submission of Information Disclosure Stmt 1806 180 Submission of Information Disclosure Stmt 1806 180 Submission of Information Disclosure Stmt 1806 180 Submission after final rejection (37 CFR 1.129(a)) 1809 750 2809 375 Filing a submission after final rejection (37 CFR 1.129(b)) 1801 750 2801 375 Request for Continued Examination (RCE) 1802 900 Request for expedited examination of a design application  |   |  |        |  |  |  |  |
| 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE Fee from below Fee Paid Total Claims Independent Claims Independ  |   |  |        |  |  |  |  |
| 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE Fee from Fee Paid Total Claims Independent Claims Multiple Dependent  Large Entity Code (\$)  1202 18 2202 9 Claims in excess of 20 1201 84 2201 42 Independent claims in excess of 3 1203 280 2203 140 Multiple dependent claims over original patent  1501 1,300 1502 470 1502 470 1502 470 1502 470 1502 470 1503 63 |   | 1453 1,300 2453 650 Petition to revive - unintentional                                       |        |  |  |  |  |
| Total Claims   15   -20** =   D   X   18   =   U     1502   470   2502   235 Design issue fee   | 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE   | 1501 1,300 2501 650 Utility issue fee (or reissue)   |        |  |  |  |  |
| Independent Claims  Multiple Dependent  Large Entity   Small Entity   Fee   Fee   Fee   Code (\$)    1202   | Extra Claims below Fee Paid   | 1502 470 2502 235 Design issue fee   |        |  |  |  |  |
| Multiple Dependent  Large Entity   Small Entity   Small Entity   Fee   Fee   Fee   Fee   Code (\$)    1202 18   2202 9   Claims in excess of 20    1203 280   2203 140   Multiple dependent claims in excess of 3    1204 84   2204 42 ** Reissue claims in excess of 20    1205 18   2205 9 ** Reissue claims in excess of 20    1206 180   1807   50   1807   50   Processing fee under 37 CFR 1.17(q)    1806 180   1806 180   Submission of Information Disclosure Stmt    8021 40   8021 40   Recording each patent assignment per property (times number of properties)    1809 750   2809 375   Filing a submission after final rejection (37 CFR 1.129(a))    1810 750   2810 375   For each additional invention to be examined (37 CFR 1.129(b))    1801 750 2801 375   Request for Continued Examination (RCE)    1805 18   2205 9 ** Reissue claims in excess of 20 and over original patent    1807 50   Processing fee under 37 CFR 1.17(q)    1808 180   1808   Submission of Information Disclosure Stmt    8021 40   8021 40   Recording each patent assignment per property (times number of properties)    1809 750 2809 375   Filing a submission after final rejection (37 CFR 1.129(a))    1809 750 2801 375   For each additional invention to be examined (37 CFR 1.129(b))    1801 750 2801 375   Request for Continued Examination (RCE)    1801 750 2801 375   Request for expedited examination of a design application   |   | 1503 630 2503 315 Plant issue fee  |        |  |  |  |  |
| Large Entity   Small Entity   Fee   Fee   Fee   Fee   Fee   Code (\$)   1806   180   1806   180   | Claims  | 1460 130 1460 130 Petitions to the Commissioner  |        |  |  |  |  |
| Fee Fee Code (\$)  1202 18  1202 9 Claims in excess of 20  1203 280  1204 84  1204 84  1204 84  1205 18  1205 9 ** Reissue claims in excess of 20  1205 18  1205 18  1206 9 ** Reissue claims in excess of 20  1206 18  1207 18  1208 18  1209 18  1209 18  1209 18  1209 18  1209 18  1209 18  1209 18  1200 | Multiple Dependent 280 =0   | 1807 50 1807 50 Processing fee under 37 CFR 1.17(q)  |        |  |  |  |  |
| Code (\$)   Code (\$)   Code (\$)   8021   40   8021   40   Recording each patent assignment per property (times number of properties)   40.00   1202 18   2202 9   Claims in excess of 20   1809   750   2809   375   Filling a submission after final rejection (37 CFR 1.129(a))   1203 280   2203 140   Multiple dependent claim, if not paid   1810   750   2810   375   For each additional invention to be examined (37 CFR 1.129(b))   1204 84   2204   42   ** Reissue independent claims over original patent   1801   750   2801   375   Request for Continued Examination (RCE)   1205 18   2205   9   ** Reissue claims in excess of 20 and over original patent   1802   900   1802   900   Request for expedited examination of a design application   |   |  |        |  |  |  |  |
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| 1203 280 1204 84 2204 42 ** Reissue independent claims over original patent  1205 18 2205 9 ** Reissue claims in excess of 20 and over original patent  2206 18 2207 140 Multiple dependent claim, if not paid 1810 750 2810 375 For each additional invention to be examined (37 CFR 1.129(b))  1801 750 2801 375 Request for Continued Examination (RCE)  1802 900 Request for expedited examination of a design application  |   | 1809 750 2809 375 Filing a submission after final rejection                                  |        |  |  |  |  |
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| over original patent 1801 750 2801 375 Request for Continued Examination (RCE)  1205 18 2205 9 ** Reissue claims in excess of 20 and over original patent 1802 900 1802 900 Request for expedited examination of a design application   | 1204 84 2204 42 ** Reissue independent claims   | examined (37 CFR 1.129(b))   |        |  |  |  |  |
| and over original patent of a design application  | over original patent  | <b>-</b>   |        |  |  |  |  |
| Other for (see )  |   |  |        |  |  |  |  |
| CUPTOTAL (2) 1/\$\V   | Other fee (specify)   |  |        |  |  |  |  |
| **or number previously paid, if greater; For Reissues, see above **Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$) 40.00   |   |  |        |  |  |  |  |
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